



UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
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APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/774,879	02/01/2001	Russell A. Rogers	PM 276778

CONFIRMATION NO. 3167

FORMALITIES LETTER



OC000000006382420

Pillsbury Winthrop LLP
Intellectual Property Group
Ninth Floor
1100 New York Avenue, NW.
Washington, DC 20005-3918

Date Mailed: 08/03/2001



NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

RECEIVED

DEC 01 2003

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FILED UNDER 37 CFR 1.53(b)

Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.
Applicant must submit \$ 355 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).
- The oath or declaration is missing.
A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$65 for a small entity in compliance with 37 CFR 1.27, must be submitted with the missing items identified in this letter.
- **The balance due by applicant is \$ 420.**

The application is informal since it does not comply with the regulations for the reason(s) indicated below.
The application is informal since it does not comply with the regulations for the reason(s) indicated below.

The required item(s) identified below must be timely submitted to avoid abandonment:

- Substitute drawings in compliance with 37 CFR 1.84 because:

- drawing sheets do not have the appropriate margin(s) (see 37 CFR 1.84(g)). Each sheet must include a top margin of at least 2.5 cm. (1 inch), a left side margin of at least 2.5 cm. (1 inch), a right side margin of at least 1.5 cm. (5/8 inch), and a bottom margin of at least 1.0 cm. (3/8 inch);

*A copy of this notice **MUST** be returned with the reply.*



Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE



FILING COMPLETION UNDER RULE 53(f)

(NOT PCT Applications)
For Design, Provisional, or Utility Applications

**PATENT
APPLICATION**

~~SEARCHED~~ ~~PATENT APPLICATION~~ of
Inventor(s): Russell A. ROGERS
Appln. No.: 09 |
Series Code ↑

COMPLETION Under
Rule 53(f)

Attn: Application Division

Filed: February 1, 2001
Title: PERSONALIZATION ENGINE FOR RULES AND KNOWLEDGE

Atty.Dkt. P 276778
M#

Client Ref

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Hon. Commissioner of Patents
Washington, DC 20231

Date: February 4, 2002

Technology Center 2100

Sir

The following completes the filing under Rule 53(f) of the above-identified patent application:

1. **Notice to File Missing Parts** copy attached not yet received
2. Signed Declaration attached. Original Facsimile/Copy

(Always "X" box 2 if filling signed Declaration and
"X" box 2A only if top box of the Declaration is X'd and file application copy, or
"X" box 2B only if none of the top three boxes of the Declaration is X'd.)

- 2A. Attached: Original signed Declaration with attached specification (including claim(s)) which is a copy of specification and claim(s) originally filed to secure the above filing date.

2B. The original application as filed in the PTO on the above filing date is the application which each inventor executed by signing the attached Rule 63 Declaration.

3. Specification originally filed in non-English language; hence verified translation attached of:

a. Abstract

b. # pages of Specification(only spec. & claims)

c. Drawing(s) _____ No of Sheets _____

d. Fig(s). _____

4. Letter filing formal drawing attached.

5. Attached is an assignment and cover sheet. Please return the recorded assignment to the undersigned.

6. DOMESTIC/INTERNATIONAL priority is claimed under 35 USC 119(e)/120/365(c) based on the following provisional, nonprovisional and/or PCT international application(s):

Application No.		Filing Date	Application No.	Filing Date
(1)	60/179,573	01 February 2000	(2)	
(3)			(4)	
(5)			(6)	

- 7 FOREIGN priority is claimed under 35 USC 119(a)-(d)/365(b) based on filing in**

- | | | | |
|------------------------|--------------------|------------------------|--------------------|
| Application No. | Filing Date | Application No. | Filing Date |
| (1) | | (2) | |
| (3) | | (4) | |
| (5) | | (6) | |

9. _____ (No.) Certified copy (copies): attached; previously filed (date) _____
in U.S. Application No. / filed on _____

10. Small Entity Status is Not claimed is claimed (file PAT-256 if this is the first claim
Small Entity Status) **RECEIVED**

11. Attached:

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12. Preliminary Amendment:

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THE FOLLOWING FILING FEE IS BASED ON CLAIMS AS FILED LESS ANY ABOVE CANCELLED

			Large/Small Entity		Fee Code
13. Basic Filing Fee	Design Application Not Design Application	\$330/\$165 \$740/\$370	+370		106/26 101/201
14. Total Effective Claims	10 minus 20 = 0	x \$18/\$9	+0		103/203
15. Independent Claims	3 minus 3 = 0	x \$84/\$42	+0		102/202
16. If <u>any</u> proper multiple dependent claim (ignore improper) is present, (Leave this line blank if this is a reissue application)		\$280/\$140	+0		104/204
17. Surcharge for filing Declaration/filing fee late		\$130/\$65	+65		105/205
18.		FILING FEE ENCLOSED =	\$435		
19. Original due date:	October 3, 2001				
20. Petition is hereby made to extend the original due date to cover the date this response is filed for which the requisite fee is attached	(1 mo) (2mos) (3mos) (4mos)	\$110/\$55 = \$400/\$200 = \$920/\$460 = \$1,440/\$720 =	+720		115/215 116/216 117/217 118/218
21. If "non-English" box 3 is X'd, add Rule 17(k) processing fee		\$130	+0		139
22. If "assignment" box 5 is X'd, add recording fee.		\$40	+40		581
23. Petition Fee for		\$130	+0		
24.		TOTAL FEE ENCLOSED =	\$1195		

Our Deposit Account No. 03-3975
Our Order No. 201634

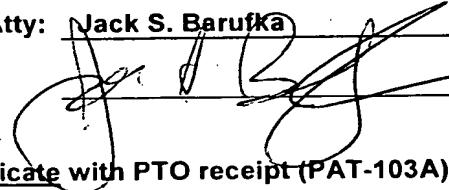
C# 276778 M#

CHARGE STATEMENT: The Commissioner is hereby authorized to charge any fee specifically authorized hereafter, or any missing or insufficient fee(s) filed, or asserted to be filed, or which should have been filed herewith or concerning any paper filed hereafter, and which may be required under Rules 16-18 (missing or insufficiencies only) now or hereafter relative to this application and the resulting Official document under Rule 20, or credit any overpayment, to our Account/Order Nos. shown in the heading hereof for which purpose a duplicate copy of this sheet is attached. This **CHARGE STATEMENT** does not authorize charge of the issue fee until/unless an issue fee transmittal form is filed.

Pillsbury Winthrop LLP
Intellectual Property Group

By Atty: Jack S. Barufka

Reg. No. 37087

Sig: 

Fax: (703) 905-2500
Tel: (703) 905-2012

Atty/Sec: JSB/rsp

NOTE: File in duplicate with PTO receipt (PAT-103A) and attachments